



Open Door

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Policy No: HR 4-2

Policy Owner: Human Resources

Supersedes: December 2020

Last Reviewed Date: July 2022

Purpose

We want any Donnelley Financial employee who has a concern, complaint or question to have it addressed as quickly as is possible.

Applicability

This policy applies to all employees at Donnelley Financial Solutions (“DFIN”).

Policy

All DFIN employees should receive fair and equitable treatment at all times. Employees may take problems or questions to any level of management, consistent with this policy and/or applicable law. Our commitment to employees is there will never be any retaliation or discrimination for voicing concerns through the Open Door Policy.

This policy is intended to complement and not substitute for any internal formal grievance procedure in countries where such a process exists.

Procedures

Policy Communication

DFIN will publish and re-communicate this policy on an ongoing basis and make it available digitally and in print, where applicable.

Using the Open Door

Although employees may raise a concern to ANY member of management, the following process is the fastest and most often the best way for employees to resolve problems:

1. First speak with your supervisor.
2. If the issue cannot be resolved, then raise the issue to your department manager or site/business leader.
3. If not satisfied with the response from your local management team you may escalate the decision to your local Human Resources professional.
4. If you still feel that your issue has not been fully heard, you may escalate to your VP HR Business Partner.

On especially sensitive issues that you believe may involve local management you should contact: (a) HR Business Partner, (b) Legal Department, or (c) the "Ethics Hotline" at 1-877-RPT-LINE (1-877-778-5463 (toll free) or www.reportit.net. Users will log-in as an anonymous reporter using the Username of DFIN and the Password *Financial1*.

Concerns may be made in person, by phone, by mail or by e-mail. There is no requirement that an employee put the concern in writing and no special form is required, although it may sometimes be helpful to document the concern to ensure more effective communication.

Management should talk with the employee as soon as is practical to review the matter and provide a response. If additional time is necessary to fully investigate the matter, management will keep the employee advised of the estimated amount of time it will take, and provide a response as promptly as possible.

References

1. The Principles of Ethical Business Conduct
2. HR Policy 5-1: Equal Employment Opportunity
3. HR Policy 5-2: Harassment